S&W Seed Co Form 3 March 19, 2015

# FORM 3

# UNITED STATES SECURITIES AND EXCHANGE COMMISSION Washington, D.C. 20549

OMB APPROVAL

OMB Number:

3235-0104

Expires:

January 31, 2005

0.5

Estimated average burden hours per

response...

INITIAL STATEMENT OF BENEFICIAL OWNERSHIP OF SECURITIES

Filed pursuant to Section 16(a) of the Securities Exchange Act of 1934, Section 17(a) of the Public Utility Holding Company Act of 1935 or Section 30(h) of the Investment Company Act of 1940

(Print or Type Responses)

1. Name and Address of Reporting 2. Date of Event Requiring 3. Issuer Name and Ticker or Trading Symbol Person \* Statement S&W Seed Co [SANW] NORDSTROM MICHAEL N. (Month/Day/Year) 03/12/2015 (Last) (First) (Middle) 4. Relationship of Reporting 5. If Amendment, Date Original Person(s) to Issuer Filed(Month/Day/Year) 222 WEST LACEY BLVD. (Check all applicable) (Street) 6. Individual or Joint/Group Filing(Check Applicable Line) 10% Owner \_X\_ Director \_X\_ Form filed by One Reporting Officer Other Person (give title below) (specify below) HANFORD. CAÂ 93230 Form filed by More than One Reporting Person (City) (State) (Zip) Table I - Non-Derivative Securities Beneficially Owned 2. Amount of Securities 4. Nature of Indirect Beneficial 1. Title of Security Beneficially Owned Ownership Ownership (Instr. 4) (Instr. 4) Form: (Instr. 5) Direct (D) or Indirect (I) (Instr. 5) D Â Common Stock 3,750 Common Stock 14,477 I By living trust Common Stock 25,000 Ι By wife

Reminder: Report on a separate line for each class of securities beneficially owned directly or indirectly.

SEC 1473 (7-02)

Persons who respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB control number.

Table II - Derivative Securities Beneficially Owned (e.g., puts, calls, warrants, options, convertible securities)

1. Title of Derivative	2. Date Exercisable and	3. Title and Amount of	4.	5.	6. Nature of Indirect
Security (Instr. 4)	Expiration Date (Month/Day/Year)	Securities Underlying Derivative Security	Conversion or Exercise	Ownership Form of	Beneficial Ownership

#### Edgar Filing: S&W Seed Co - Form 3

	Date Exercisable	Expiration Date	(Instr. 4) Title	Amount or Number of Shares	Price of Derivative Security	Derivative Security: Direct (D) or Indirect (I) (Instr. 5)	(Instr. 5)
Stock Option (right to buy)	01/01/2012(1)	10/24/2016	Common Stock	10,000	\$ 4.2	D	Â
Stock Option (right to buy)	01/01/2013(2)	12/08/2017	Common Stock	12,500	\$ 7.2	D	Â
Stock Option (right to buy)	04/01/2014(3)	01/31/2019	Common Stock	7,000	\$ 6.23	D	Â
Common Stock	04/01/2015(4)	12/09/2024	Common Stock	7,000	\$ 3.61	D	Â

# **Reporting Owners**

	Relationships					
Reporting Owner Name / Address	g Owner Name / Address Director 10 Ov		Officer	Othe		
NORDSTROM MICHAEL N.						
222 WEST LACEY BLVD.	ÂΧ	Â	Â	Â		
HANFORD, CA 93230						

# **Signatures**

Michael N.
Nordstrom

\*\*Signature of Reporting Person

Date

# **Explanation of Responses:**

- \* If the form is filed by more than one reporting person, see Instruction 5(b)(v).
- \*\* Intentional misstatements or omissions of facts constitute Federal Criminal Violations. See 18 U.S.C. 1001 and 15 U.S.C. 78ff(a).
- The options vested and became exercisable in four quarterly installments of 2,500 shares over one year, commencing on January 1, 2012 (1) and continuing thereafter on the first day of each succeeding fiscal quarter (April 1, July 1 and October 1), through and including October 1, 2012.
- The options vested and became exercisable in four quarterly installments of 3,125 shares over one year, commencing on January 1, 2013

  (2) and continuing thereafter on the first day of each succeeding fiscal quarter (April 1, July 1 and October 1), through and including October 1, 2013.
- The options vested and became exercisable in four quarterly installments of 1,750 shares over one year, commencing on April 1, 2014 (3) and continuing thereafter on the first day of each succeeding fiscal quarter (July 1, October 1 and January 1) through and including January 1, 2015.
- The options vest and become exercisable in four quarterly installments of 1,750 shares over one year, commencing on April 1, 2015 and continuing thereafter on the first day of each succeeding fiscal quarter (July 1, October 1 and January 1) through and including January 1, 2016, subject to continued service through each vesting date.

Note: File three copies of this Form, one of which must be manually signed. If space is insufficient, *See* Instruction 6 for procedure. Potential persons who are to respond to the collection of information contained in this form are not required to respond unless the form displays a currently valid OMB number.

Reporting Owners 2